

## COMPLIANCE RECORD FORM 2021

Charity Name	<b>Ability West</b>
Registration Charity Number (RCN)	20011161
Annual Reporting Period	January - December 2021
Date approved by the Board of Charity Trustees	15 December 2021

Under the [Charities Governance Code](#) all registered charities are required to complete this Charities Governance Code Compliance Record Form every year.

Please fill in this form to record:

- the actions that your charity takes to meet each standard of the Charities Governance Code; and
- the evidence that backs this up.

You should approve the Compliance Record Form at a board meeting before you report on your compliance to us.

**You are NOT required to file the Compliance Record Form with the Charities Regulator. However, you must keep your Compliance Record form as the Charities Regulator could ask you for it at any time.**

**What do we expect?**

The type of evidence we expect depends on the complexity of your charity.

The minimum expected of all charities would be to discuss and agree at board meetings how they will meet the standards and document their decisions in the minutes. For volunteer-only charities this will be enough to meet many of the core standards.

We would expect a charity with paid staff to provide more documentation like workplans and written policies as evidence of the actions they have taken.

We would expect more complex charities to provide more extensive documentation than other charities.

You can add or delete columns as required.

Please use the glossary within the [Charities Governance Code](#) when filling in the form and include dates where appropriate.

**Please click [here](#) for more information, guidance and templates.**

Principle 1: Advancing Charitable Purpose **CORE STANDARDS**

**1.1 Be clear about the purpose of your charity and be able to explain this in simple terms to anyone who asks.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West clearly sets out the object of the organisation in our governing document, i.e. is of benefit to the community. This document is available for reference at board meetings. The main object is included in Board Meeting Agendas (from September 2021).</p> <p>Further work was undertaken to review the Constitution in 2019 with regard to the branch and regional structure due to the decline in branch and regional membership. An AGM was held on 20 July 2020 with two special resolutions regarding the revised Constitution to be considered and ratified, both of which were unanimously approved. The revised Constitution has been filed and processed by the Charities Regulator and Companies Registration. All Trustees received a recent copy of the Constitution, in advance of the AGM, July 2020.</p>	<p>Constitution <a href="#">Resources — Ability West</a>            Board Meeting Agenda: 6 September 2021            Board Meeting Minutes: 16 December 2019, 27 January 2020, 9 March 2020, 27 April 2020, 7 September 2020, 12 October 2020            AGM Minutes July 2020 and AGM Pack</p>
<p>Our charitable purpose and objectives are clearly stated in our annual report, on our website and social media platforms.</p>	<p>Annual Report: <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a>            Website and Social Media Platforms (Facebook, Twitter, Instagram, LinkedIn)  <a href="https://www.abilitywest.ie/">https://www.abilitywest.ie/</a>  <a href="https://www.facebook.com/AbilityWest/">https://www.facebook.com/AbilityWest/</a>  <a href="https://twitter.com/abilitywest">https://twitter.com/abilitywest</a>  <a href="https://www.instagram.com/abilitywest/">https://www.instagram.com/abilitywest/</a>  <a href="https://www.linkedin.com/company/ability-west">https://www.linkedin.com/company/ability-west</a></p>
<p>Ability West has developed Vision and Mission Statements which document our purpose and how we will achieve it. These statements were most recently reviewed in November 2020.</p>	<p>Vision and Mission Statements  <a href="https://www.abilitywest.ie/about#mission">https://www.abilitywest.ie/about#mission</a>            Board Meeting Minutes: 16 November 2020</p>
<p>Ability West has developed a five year Strategic Plan, 2019-2023, which clearly sets out the roadmap for the organisation over the coming five years. Regular progress reports are provided to Trustees.</p>	<p>Strategic Plan 2019 – 2023  <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a>            Board/Senior Management Team Meeting Minutes: 31 May 2021, 15 December 2021</p>

**1.2 Consider whether or not any private benefit arises ([see glossary](#)). If a private benefit arises, consider if it is reasonable, necessary and ancillary to the public benefit that your charity provides.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Employees of Ability West receive a private benefit, i.e. are paid for their contractual arrangements. This is necessary in order to provide the public benefit and pay and conditions are reasonable. A wide range of stakeholders benefit from our charity's service provision that could only be delivered by paid employees, subject matter experts and healthcare specialists.</p> <p>Appointments and Remuneration is a standing item on the agenda for all Trustees' meetings and a report is furnished in the Board pack in advance of each meeting.</p>	<p>Ability West is funded by the HSE under Section 39 of the Health Act 2004. Payment of employees is linked with the Department of Health consolidated pay scales and all employment legislation is complied with, e.g. annual leave, maternity leave, etc. Ability West has a comprehensive Recruitment and Appointment Policy and Procedure in place.</p> <p>Appointments/Remuneration Report, Board Meeting Agenda and Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.</p>
<p>No Trustees receive remuneration for their services, save for reasonable out of pocket expenses, e.g. mileage.</p>	<p>Audited Financial Statements 2020 re salary <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a></p>
<p>Trustees sign a Declaration of Interest on commencement of their tenure on the Board and annually thereafter. A Register of Interests is maintained by Ability West.</p> <p>Declaration of Conflict of Interest/Conflict of Loyalty is a standing agenda item on Board Meeting agendas.</p>	<p>Register of Interest and Declaration of Interest - Board Meeting Minutes: TBC</p> <p>Board Meeting Agendas: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 13 December 2021.</p>

**1.3 Agree an achievable plan for at least the next year that sets out what you will do to advance your purpose.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West has an annual Service Arrangement (Part 2) with the HSE which outlines the quantum of service that is provided to children and adults with intellectual disability availing of its services. The 2021 Service Arrangement commences from 1<sup>st</sup> January 2021 and includes details relating to budget, staffing, quality and safety, insurance, etc.</p> <p>The Service Arrangement (Part 1) consists of 37 standard clauses and covers a defined number of years.</p>	<p>Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May 2021. HSE Service Arrangement 2021 – Parts 1 and 2 HSE Review Meeting Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021</p>
<p>Once funding has been agreed with the HSE, per a Letter of Determination, a final Operating Budget is prepared for the year which must be approved by the Board of Directors</p>	<p>Operating Budget Board Minutes: 8 March, 26 April 2021</p>

Service Arrangements are also in place with other funding parties, e.g. Department of Education and Skills and Department of Social Protection.	Submission to DoES and DSP.
Ability West has a strategic plan spanning 2019 to 2023 and there are annual service plans associated with this plan for various areas in the organisation, e.g. Finance, Human Resources, Client Services, Quality, etc.	Strategic Plan 2019 – 2023 <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a> and associated service plans
Additional funding was granted by the HSE to respond to the Covid-19 pandemic, to ensure the continuity of day service provision in residential services and virtually to those living at home.	Board/SMT Minutes: 14 December 2020 Board Minutes: 12 July, 6 September 2021
Ability West was granted funding under the ‘Strengthening Disability Services Fund’ provided by the HSE. Funding granted in two areas: to review and develop Person Centred practices in Ability West and the Acquisition of a new HR/Finance software tools on our management information system (CoreHR), specifically a rostering module and an end-to-end reporting/analytics tool. Work is ongoing in 2021 to progress both projects.	Board Minutes and Board/SMT Minutes: 14 December 2020 Board Minutes: 25 January, 8 March, 6 September 2021.

**1.4 Make sure your charity has the resources it needs to do the activities you plan. If you don’t have the resources, you need to show a plan for getting those resources.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West signs up to a Service Arrangement (Part 2) with the HSE on an annual basis which outlines the quantum of service provision as at 1 <sup>st</sup> January every year. Ability West, as per agreed procedure with the HSE, prepares business cases for submission to the HSE to advocate for additional resources to respond to changing needs/crises.	Submissions to HSE – DSMAT (business cases) HSE Service Arrangement 2021 – Parts 1 and 2 HSE Review Meeting Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021 Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May 2021, 6 September, 11 October 2021.
Ability West also advocates for additional resources at regular Service Arrangement Review meetings with the HSE, as and when required on an ongoing basis.	Service Arrangement Review Meeting Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021
Ability West has annual Service Arrangements in place with the Department of Education and Skills and Department of Social Protection.	Service Arrangements with Department of Education and Skills and Department of Social Protection
A financial update is a standing item on the agenda for Board meetings.	Board Meeting Agendas and Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.

<p>Ability West has operated a fundraising programme for many years with funds raised under this programme only being utilised for our capital programme which is to purchase new buildings, renovate/extend existing buildings, to purchase specialised aids, appliances, equipment, and minibuses. Due to the global Covid-19 pandemic there has been a massive impact to our fundraising endeavours which has resulted in a significantly reduced resource for expending on our capital programme. Ability West applied for a number of grants to mitigate the loss of fundraising income but we were not successful with same. An external review was undertaken between 2020 and 2021 regarding fundraising and the future role of fundraising in Ability West. The vacant Community Development Officer role was also extensively considered and a new job description developed. Recruitment will commence in the coming months.</p>	<p>Fundraising activity and updates in relation to the Community Development Officer role is reported to the Board: Board Meeting Minutes: In 2020 and on 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 7 December 2021. Fundraising activity is reported in our Annual Report <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Fundraising Grant Applications</p>
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**1.5 From time to time, review what you are doing to make sure you are still:**

- **acting in line with your charity's purpose; and**
- **providing public benefit.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West has most recently reviewed the Constitution in 2017 and 2020. The revised changes do not impact on the principal objectives of the Constitution.</p>	<p>Constitution <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 16 December 2019, 27 January 2020, 9 March 2020, 27 April 2020, 7 September 2020, 12 October 2020</p>
<p>Ability West outlines the purpose of the organisation in its annual report, on its website and social media platforms.</p>	<p>Annual Report <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a> Website and Social Media Platforms (Facebook, Twitter, Instagram, LinkedIn) <a href="https://www.abilitywest.ie/">https://www.abilitywest.ie/</a> <a href="https://www.facebook.com/AbilityWest/">https://www.facebook.com/AbilityWest/</a> <a href="https://twitter.com/abilitywest">https://twitter.com/abilitywest</a> <a href="https://www.instagram.com/abilitywest/">https://www.instagram.com/abilitywest/</a> <a href="https://www.linkedin.com/company/ability-west">https://www.linkedin.com/company/ability-west</a></p>
<p>Ability West looks back annually in relation to the work undertaken by the organisation, e.g. preparation of an annual report and the completion of audited financial statements and Directors' Report which are published as per legislation.</p>	<p>Audited Financial Statements <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a> Board Meeting Minutes: 26 April, 31 May, 12 July 2021 Board/SMT Meeting Minutes: 31 May 2021</p>
<p>Ability West completes an Annual Compliance Statement (HSE) which is signed by the Board of Directors and is submitted to the HSE's Compliance Unit. This process is a mechanism for the Trustees to confirm specific matters of compliance to the HSE in respect of the governance arrangements of the organisation.</p>	<p>Annual Compliance Statement 2020 submitted to the HSE on 30<sup>th</sup> April 2021. Board Meeting Minutes: 26 April 2021</p>

Ability West completes an Annual Financial Monitoring Return (HSE), which is signed by the Chief Executive and Director of Finance, and is submitted to the HSE's Compliance Unit, which provides detail in respect of elements of financial and corporate governance of the organisation.	Annual Financial Monitoring Return 2020 submitted to the HSE on 26 <sup>th</sup> July 2021.
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**Principle 1: Advancing Charitable Purpose** **ADDITIONAL STANDARDS**

**1.6 Develop your charity's strategic plan and associated operational plans.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a five year strategic plan spanning the years 2019 – 2023. Ability West has developed associated service plans for each relevant area in the organisation. The strategic plan was developed following comprehensive consultation in 2018 with relevant stakeholders.	Strategic Plan 2019 – 2023 <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a> Annual Service Plans Board/SMT Minutes: 31 May, 7 December 2021

- 1.7 Make sure there is an appropriate system in place to:**
- **monitor progress against your plans; and**
  - **evaluate the effectiveness of the work of your charity.**

Actions our charity takes to meet standards:	Evidence of our actions:
The Chief Executive accounts for his/her stewardship of the organisation at the Board of Directors' meetings (currently 10 per year) and provides a comprehensive report in relation to same.	CEO Reports as part of Board Meeting documentation – 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
Management Accounts are prepared by the Director of Finance and these are regularly reported into the Finance Committee and Board of Directors. A Financial Update is a standing item on the agenda for Board of Directors' meetings	Finance Committee Meeting Minutes: 20 May, 12 July, 6 September, 15 November 2021 Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
Ability West monitors its strategic plan progress on a regular basis at meetings of the Senior Management Team	Senior Management Team Meetings – various throughout 2021
The Board of Directors reviews progress of the strategic plan biannually.	Board and Senior Management Team Meetings Minutes: 31 May, 15 December 2021
The Board of Directors meets biannually with the Senior Management Team to review all operations.	Board and Senior Management Team Meetings Minutes: 31 May, 15 December 2021

The Board of Directors meets biannually with the Quality and Safety Board Committee to ensure that there are appropriate and effective systems in place that cover all aspects of clinical, quality and safety.	Quality and Safety Board Committee Meetings Minutes: 8 March, 11 October 2021
An annual report is prepared to review progress of service delivery and the effectiveness of our work.	Annual Reports <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a>
As part of our Service Arrangement with the HSE, there are regular review meetings and we provide quarterly financial and operational data including key performance indicators.	Service Arrangement Review Meetings (with HSE), quarterly data and KPIs Service Arrangement Review Meeting Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021
Ability West plans the delivery of services through various fora, e.g. access to services, school leaver planning, residential reviews, capital projects priorities, etc.	Various operational meeting minutes.

**1.8 From time to time, consider the advantages and disadvantages of working in partnership with other charities, including merging or dissolving (winding up).**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West works closely with a number of charities and has Service Level Agreements (SLAs) in place in relation to arrangements. These SLAs are defined under the Service Arrangement with our main funder, i.e. the HSE.	Service Level Agreements with Third Party Organisations Service Arrangement Review Meeting (HSE) Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021
Ability West is a member of a number of umbrella organisations which are registered charities, e.g. National Federation of Voluntary Service Providers, The Wheel, Carmichael, Disability Federation of Ireland, Charities Institute Ireland	Membership Record

**Principle 2: Behaving with Integrity CORE STANDARDS**

**2.1 Agree the basic values that matter to your charity and publicise these, so that everyone involved understands the way things should be done and how everyone is expected to behave.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has eight core values underpinning the provision of our services and these are clearly outlined in our Vision and Mission Statements. These are widely publicised in company documents and on-line platforms.	Annual Report <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a> Website <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a>
Ability West has a Code of Conduct for Trustees. This is reviewed on an annual basis and signed by Trustees.	Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 12 July 2021
Ability West has a Code of Standards and Behaviour for Ability West Employees, this was most recently revised in April 2020.	Code of Standards and Behaviour for Ability West Employees Board Meeting Minutes: 27 April 2020
Role and Responsibilities of Volunteers and Induction Programme.	Roles and Responsibilities of Volunteers
Home Sharing families adhere to the terms and agreements outlined in their contract. The agreement is renewed annually and its core focus is on the suitability of the Home Sharing family to continue to provide Home sharing and the wellbeing of the service users whilst on placement.	Home Sharing Agreements (third party)

**2.2 Decide how you will deal with conflicts of interests and conflicts of loyalties. You should also decide how you will adhere to the Charities Regulator’s guidelines on this topic.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a policy in place that deals with conflicts of interest and conflicts of loyalties. This was most recently reviewed and approved in 2019.	Policy – Conflict of Interest/Loyalty (reviewed 2019) Board Meeting Minutes: 20 May 2019
Ability West asks all Trustees to complete a ‘Declaration of Interest’ form annually and details are recorded in a Register of Interests.	Declaration of Interest Form (signed annually) and Register of Interests Board Meeting Minutes: 11 October 2021
Standing agenda item at Board Meetings – Declaration of Conflict of Interest/Loyalty.	Agenda and minutes of Board meetings: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.

Ability West has a comprehensive Code of Conduct for Trustees which is signed by each Trustee on an annual basis.	Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 12 July 2021
Ability West has a Code of Behaviour and Standards is in place for Employees and conflicts of interest are included in this code. This was most recently revised in 2020.	Code of Standards and Behaviour for Ability West Employees Board Meeting Minutes: 27 April 2020

- 2.3 Have a code of conduct for your board that is signed by all charity trustees. It must make clear the standard of behaviour expected from charity trustees. This includes things like maintaining confidentiality and what to do in relation to:**
- **gifts and hospitality; and**
  - **out-of-pocket expenses.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a robust Code of Conduct for Trustees. This document is reviewed annually, amended as appropriate, and signed by the Trustees.	Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 12 July 2021

**Principle 3: Leading People**    **CORE STANDARDS**

**3.1 Be clear about the roles of everyone working in and for your charity, both on a voluntary and paid-basis.**

Actions our charity takes to meet standards:	Evidence of our actions:
All Trustees receive induction training when they commence and the roles and duties of Trustees, including the Chairperson and Company Secretary, are documented in the Code of Conduct for Trustees	Officer roles and Trustee roles are included in the Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 12 July 2021
The roles of the trustees and committees are clearly documented by Ability West through the Code of Conduct for Trustees and the terms of reference for Board Committees.	Induction Pack for Trustees
Ability West has job descriptions in place for all staff which outline the role, job specification, etc.	HR Job Descriptions
Ability West has role descriptions for volunteers and their responsibilities are clearly documented and signed off by volunteers.	Volunteer Role Descriptions
The organisation has a robust Quality Management System (ISO 9001:2015 accredited) in place, which includes policies and procedures for staff and volunteers to assist them in carrying out their roles. The trustees of the organisation approve all new and revised policies. All policies are reviewed every three years, with the exception of some policies which are required to be reviewed on an annual or biennial basis.	Quality Management System Board Meeting Agenda and Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 December 2021.

**3.2 Make sure there are arrangements in place for the effective involvement of any volunteers, including what to do if any problems arise.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a policy and associated procedures regarding the recruitment, support and supervision of volunteers. These are reviewed in line with changes to best practice.	Volunteer Policy and Procedures Board Meeting Minutes: 20 May 2019
Ability West employs a Volunteer Programme Manager to manage all elements of the programme, from recruitment, training and supervision to cessation of volunteer placement. The Volunteer Programme Manager manages volunteers taking on specific roles with people with intellectual disability and befriending schemes.	Volunteer Training Programme
Trustees receive induction when they commence and receive ongoing governance training as required. There is also an exit interview process for Trustees.	Induction and Ongoing Training, Exit Interviews for Trustees Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 12 July, 6 September 2021

Concerns or grievances can be raised with the volunteer's line manager, Volunteer Programme Manager, or in the case of Trustees, with the Chairperson of the Board, or CEO. Alternatively, Ability West has a Complaints Policy and Procedure which can be followed in the event of a complaint.	Complaints Policy and Procedure
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**3.3 Make sure there are arrangements in place that comply with employment legislation for all paid staff including:**

- recruitment;
- training and development;
- support, supervision and appraisal;
- remuneration (money paid for work); and dismissal.

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has an Employee Handbook and there is a suite of policies and procedures in place in relation to recruitment, training/development, support, supervision and performance management, remuneration and dismissal.	Employee Handbook
<p>Ability West complies with all relevant employment legislation for staff, adhering to its extensive policy suite in so doing. All policies are developed and updated to meet compliance with extant legislation, including but not limited to:</p> <ul style="list-style-type: none"> <li>- Employment Equality Act</li> <li>- Terms of Employment (Information) Act</li> <li>- Unfair Dismissals Act</li> <li>- Organisation of Working Time Act</li> <li>- Protection of Employees (Part-Time Work) Act</li> <li>- Health, Safety and Welfare at Work Act</li> </ul> <p>And all other acts pertaining to the various forms of statutory leave. All policies are approved by the Trustees. The organisation seeks legal advice if and when required with regard to employment matters.</p>	<p>HR Policies and Procedures under our Quality Management System Board Meeting Agenda and Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.</p>
Ability West has a Performance Management policy and procedure in place and annual appraisals of all staff are completed in line with this process.	Performance Management Procedure
One of the reserved functions of the Trustees is the recruitment of the CEO and this is a process managed by the Chairperson of the Board in association with the Trustees.	Recruitment of CEO relevant to 2019/2020 Board Minutes

**3.4 Agree operational policies where necessary, to guide the actions of everyone involved in your charity.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a robust Quality Management System in place which is accredited by NSAI to the ISO 9001:2015 standard.	Quality Management System Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
All policies are prepared and submitted to a Policy Advisory Group which comprises of senior and middle managers who review and recommend for submission to the Trustees for approval. These policies, and related procedures, are reviewed every three years or more frequently if required. Key policies are: Health and Safety, Corporate and Individual Safety Statements, Food Safety and Hygiene, Infection Prevention and Control, Safeguarding Vulnerable Persons, Child Protection, Safeguarding and Protection of Vulnerable Adults at Risk, Dignity, Respect and Equality in the Workplace, Human Resources Policies and Procedures, e.g. Recruitment, Terms and Conditions, Staff Training and Development; Data Protection, Freedom of Information, Confidentiality, including Protected Disclosure, Compliments, Feedback and Complaints, Integrated Risk Management, Fundraising, Fundraising Volunteers, Shortfall/Excess in Fundraising/Donated Monies and Working with Third Party Volunteers, Conflict of Interest/Loyalty.	Policy Advisory Group Minutes of Meetings: 18 February, 6 May, 24 June, 19 August, 23 September, 28 October, 25 November 2021  Board Meeting Agenda and Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 December 2021.
Code of Conduct for Trustees	Code of Conduct for Trustees Board Meeting Minutes: 12 July 2021
Code of Standards and Behaviour for Employees	Code of Standards and Behaviour for Employees Board Meeting Minutes: 27 April 2020

**Principle 3: Leading People** **ADDITIONAL STANDARDS**

**3.5 Make sure to document the roles, legal duties and delegated responsibility for decision-making of:**

- individual charity trustees and the board as a whole;
- any sub-committees or working groups;
- staff and volunteers.

Actions our charity takes to meet standards:	Evidence of our actions:
The roles, legal duties and delegated responsibility of Trustees and the Board is clearly documented in our Code of Conduct for Trustees.	Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Board Meeting Minutes: 12 July 2021
There is a robust induction process for new Trustees, including an Induction Pack and Training which covers the structure of the organisation, constitution, roles/responsibilities, etc.	Induction Pack for Trustees Guidance for Charity Trustees - Board Meeting Pack: 14 December 2020
All Board Committees have terms of reference which are reviewed and approved by the Board. These committees are: Audit and Risk, Finance, Nominations, Visit, and Quality and Safety.	Terms of Reference of Various Board Committees Board Meeting Agenda and Minutes: 14 December 2020, 6 September 2021
Role descriptions have been developed in more recent years for recruiting Trustees. The most recent description was developed by the Nominations Committee for the recruitment of two family representatives to join the Board.	Role Description for Trustees – April 2021
Roles and responsibilities of staff and volunteers are captured in the relevant job descriptions	Job Descriptions for Staff

**3.6 Make sure that there are written procedures in place which set out how volunteers are:**

- recruited; supported and supervised while within your charity; and
- the conditions under which they exist.

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a clear policy and associated procedures for the recruitment, training, support and supervision of volunteers while involved with us.	Quality Management System – Volunteer Procedures, most recently reviewed in 2019
All volunteers are vetted through the National Vetting Bureau	Vetting Record
Three references are collected and verified in advance of a volunteer commencing in a role.	References
Ability West employs a Volunteer Programme Manager to manage all elements of the programme, from recruitment, training, supervision to cessation.	Policy and Procedure

**3.7 Decide how you will develop operational policy in your charity. You also need to decide how your charity trustees will make sure that the policy is put in place and kept up-to-date.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a robust Quality Management System in place which is accredited to the ISO 9001:2015 standard (accredited by NSAI).	Quality Management System
All operational policies are prepared and submitted to a Policy Advisory Group which comprises of senior and middle managers who review and recommend for submission to the Trustees who have final approval on all policies, either new or revised. A schedule is maintained of timelines for the review of policies and procedures and this is monitored by the Quality and Compliance as part of work associated with the Policy Advisory Group.	Policy Advisory Group Agenda and Minutes: 18 February, 6 May, 24 June, 19 August, 23 September, 28 October, 25 November 2021 Board Meeting Agenda and Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 December 2021.
Ability West employs a Quality and Compliance Manager who oversees the Quality Management System in the organisation. Revised policies and procedures are notified to all staff, via their line manager at staff meetings and emails.	Notifications re policy/procedural updates
Ability West has an intranet which is accessible by all employees. All policies and procedures are available to staff on this forum and staff are notified when policies/procedures are revised.	Intranet Policies/Procedures section

Principle 4: Exercising Control **CORE STANDARDS**

**4.1 Decide if your charity's current legal form and governing document are fit for purpose. Make changes if necessary, telling the Charities Regulator in advance that you are doing so.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West has a constitution which was most recently amended to reflect a revised structure as the organisation could no longer comply with the Branch and Regional structure due to the decline in volunteers. There were no changes to the objectives of the constitution. The Charities Regulator approved the revised constitution and this was ratified by the members by a special resolution at our AGM on 20<sup>th</sup> July 2020, and this has since been filed with the Companies Registration Office.</p> <p>Prior to that, the constitution was amended in 2017 to comply with new requirements under the Companies Act 2014.</p>	<p>Returns on the Charities Regulator account and correspondence to the Charities Regulator- <a href="#">The Charities Regulator is Ireland's national statut...</a></p> <p>Returns filed with the Companies Registration Office. <a href="#">CRO Homepage</a></p> <p>AGM Agenda and Minutes: <a href="#">Resources — Ability West</a></p> <p>Constitution <a href="#">Resources — Ability West</a></p>

**4.2 Find out the laws and regulatory requirements that are relevant to your charity and comply with them.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West is a company limited by guarantee having no share capital. It abides by the Companies Act 2014.</p>	<p>Companies Registration Office records - <a href="#">CRO Homepage</a></p>
<p>Ability West is a registered charity and abides by the Charities Act 2009.</p>	<p>Charity Regulatory Authority Annual Return - <a href="#">The Charities Regulator is Ireland's national statut...</a></p>
<p>There are many other laws and regulatory requirements relevant to Ability West which inter alia include: National Standards for Residential Services for People with Disability, S.I. 366 and S.I. 367; Health Act 2004; Disability Act 2005; Freedom of Information 2014; General Data Protection Regulation (2018); Lobbying Act 2015, National Vetting Bureau Acts 2012-2016, Health, Safety and Welfare at Work Act 2005</p>	<p>Ability West has a robust Quality Management System in place which is accredited to the ISO 9001:2015 standard (accredited by NSAI).</p>
<p>Ability West is regulated under the Health Act 2007 for the care and support of residents in designated centres for persons with disabilities (S.I. 367)</p>	<p>Registration Certificates of residential and respite services with HIQA (S.I. 367)</p>

**4.3 If your charity raises funds from the public, read the Charities Regulator’s guidelines<sup>1</sup> on this topic and make sure that your charity adheres to them as they apply to your charity.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West raises funds from the public and the Board of Directors adopted the Guidelines for Charitable Organisations Fundraising from the Public in 2018.	Compliance and transparency re fundraising is clearly outlined in our Audited Accounts which are drafted, cognisant of Charities SORP, and as outlined on our website <a href="https://www.abilitywest.ie/fundraise">https://www.abilitywest.ie/fundraise</a>
The organisation has developed a range of fundraising policies, procedures and guidelines which inter alia include: Fundraising Policy; Shortfall or Excess of Funds Raised or Donated; Evaluation and Allocations; Code of Practice for Fundraising; Fundraising Volunteers; Handling Feedback and Complaints; Cash Handling.	Quality Management System – Fundraising Policies/Procedures and Guidelines Board of Directors’ Approval of Policy – Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
A financial update is a standing item on the agenda of Board meetings.	Board Meeting Agendas: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
An update on fundraising is also included in the CEO Report, a copy of which is provided to the Trustees in advance of every Board meeting.	CEO Reports and Board Minutes 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
The Trustees undertook a review of fundraising during 2020/2021 in light of the vacant Community Development Officer post and the Covid-19 pandemic. Work is ongoing in relation to finalising a job description and fundraising strategy prior to commencing recruitment in September 2021.	Board Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11, October, 15 November, 15 December 2021

<sup>1</sup> See Guidelines for Charitable Organisations on Fundraising from the Public - available from: <https://www.charitiesregulator.ie/media/1083/guidance-for-fundraising-english.pdf>

**4.4 Make sure you have appropriate financial controls in place to manage and account for your charity's money and other assets.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has robust financial controls in place to manage and account for funding received, both in terms of allocated funding from the HSE and others, and fundraised income.	Quality Management System – Financial Policy and Procedures
The organisation produces audited accounts on an annual basis which are filed with the Companies Registration Office, Charities Regulator, and provided to the HSE and other funders. Additionally, a full copy of the audited accounts is available on our website.	Annual Audited Accounts - <a href="#">About — Ability West</a> Board Meeting Minutes: 31 May 2021
Ability West has a Finance Committee that meets regularly to monitor the financial situation. The Chairperson of the Finance Committee reports to the Board of Directors. Finance is a standing agenda item for Board meetings. The terms of reference of this committee were most recently reviewed by the Trustees at a meeting on 6 <sup>th</sup> September 2021.	Finance Committee Terms of Reference Board Minutes: 6 September 2021 Finance Committee Meetings Minutes
The organisation has an Audit and Risk Committee in place that monitors our financial controls, risks, etc., and also liaises with the company's external auditors.	Audit and Risk Committee Terms of Reference and Minutes of Meetings: 8 April, 13 July, 29 November 2021
The Chief Executive accounts for her stewardship of the organisation at the Board of Directors' meetings (currently 10 per year) and provides a comprehensive report in relation to same.	Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021. CEO Report to the Board of Directors: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
An Honorary Treasurer, who is also Chairperson of the Finance Committee, is elected annually.	Board Minutes: 14 June 2021
Ability West has a Finance Committee that meets regularly to monitor the financial situation. The Chairperson of the Finance Committee reports to the Board of Directors.	Finance Committee Minutes/Terms of Reference.
The organisation meets with the HSE on a regular basis to review progress of the organisation against the Service Arrangement in place. Quarterly financial returns are also submitted to the HSE.	Quarterly Returns to the HSE
The organisation completes an Annual Compliance Statement which is signed by the Chairperson and a Director of the Board of Directors and is submitted to the HSE.	Annual Compliance Statement 2020 submitted to the HSE on 30 <sup>th</sup> April 2021 Board Meeting Minutes: 26 April 2021
The organisation completes an Annual Financial Monitoring Return which is signed by the Chief Executive and Director of Finance and submitted to the HSE.	Annual Financial Monitoring Return 2020 submitted to the HSE on 26 <sup>th</sup> July 2021

**4.5 Identify any risks your charity might face and how to manage these.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Inadequate funding to respond to changing needs, to respond appropriately and safely to people with complex needs and behaviours that challenge. The organisation is unable to risk fund such situations on an ongoing basis given that it must operate within the resources available and record a breakeven financial position on an annual basis. Ability West meets with the HSE at least six times per year to review all aspects of operations.</p> <p>All cases where safeguarding concerns exist are notified to the HSE Safeguarding Team and we review those cases on an ongoing basis. Ability West has a Core Safeguarding Group in place with external membership, including a representative from the HSE Safeguarding Team.</p>	<p>Service Arrangement Review Meeting Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021</p>
<p>Ability West has a Corporate Risk Register which is reviewed on an ongoing basis by the Senior Management Team, Quality and Safety Board Committee and Quality and Safety Executive Committee.</p> <p>Each frontline service has a risk register in place which is reviewed on an ongoing basis.</p>	<p>Corporate Risk Register and Centre Risk Registers Quality and Safety Board Committees Minutes: 8 March, 11 October 2021 Board/Senior Management Team Minutes: 31 May, 7 December 2021</p>
<p>The Board of Directors visit residential and respite services annually and day services biennially as part of their governance role. A report is completed by the Board Members, who visit services in pairs, and feedback on any issues raised, etc. is provided by the Chief Executive at the following Board Meeting. Unfortunately, due to the Covid-19 pandemic, visits to services were suspended in March 2020 in order to protect the individuals availing of our services and our staff teams. Resumption of visits to services will be considered by the Trustees in due course.</p>	<p>Visiting Committee Terms of Reference Board Minutes: 15 December 2021</p>

**4.6 Make sure your charity has appropriate and adequate insurance cover.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West has adequate and appropriate insurance cover in place which includes cover from State Claims.</p>	<p>Insurance Policy and Certificates NIMS Reporting</p>
<p>A review of insurance is undertaken annually with our insurers, and an update on insurance renewal is provided annually to the Board of Directors</p>	<p>Annual meeting with Insurance Broker/Insurer held on 12 April 2021 Board Meeting Pack and Minutes: 12 July 2021</p>

**Principle 4: Exercising Control** **ADDITIONAL STANDARDS**

**4.7 You should have written procedures to make sure that you comply with all relevant legal and regulatory requirements.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a robust Quality Management System in place with documented policies and procedures. All procedures outline legislation/regulatory requirements relevant to that particular procedure. This system is accredited to the ISO9001:2015 standard (NSAI).	Quality Management System NSAI Accreditation
Ability West complies with the National Standards for Residential Services for Children and Adults with Disability and is regulated by Statutory Instrument No. 367 of 2013, Health Act 2007 (care and support of residents in designated centres for persons [children and adults] with disabilities), Regulations 2013.	Ongoing registration of Designated Centres with HIQA
Ability West is accredited with Excellence Through People standard 1000:2017.	NSAI Accreditation
Ability West operates its day services in line with the interim New Directions Standards (HSE)	Self-Assessment EASI Tool completion
Ability West has a policy and procedure on integrated risk management and has aligned its systems and processes to the standard ISO 31000:20018, and uses it as its framework for risk management.	Integrated Risk Management Policy and Procedure Quality and Safety Board Committee Meetings: 8 March, 11 October 2021.

**4.8 Make sure there is a formal risk register that your board regularly reviews.**

Actions our charity takes to meet standards:	Evidence of our actions:
As part of a Quality Management Information System, the organisation has a Corporate Risk Register in place. This register is reviewed at operational level by a Quality and Safety Executive Committee.	Quality and Safety Executive Committee Meeting Terms of Reference and Minutes
The Board of Directors has a Quality and Safety Board Committee in place which reviews the Corporate Risk Register biannually. Reports provided to this committee by the Quality and Safety Executive Committee are utilised to support the review of the Corporate Risk Register.	Quality and Safety Board Committee Meeting Terms of Reference and Minutes: 8 March, 11 October 2021
There is also a Quality and Safety Executive Committee whose work feeds into the Quality and Safety Board Committee.	Quality and Safety Executive Committee Meeting Minutes
The Board also meets with the Senior Management team biannually and updates relating to the Corporate Risk Register are provided at those meetings.	Board and Senior Management Team Minutes: 8 March, 15 December 2021
The Audit and Risk Committee review risk on an ongoing basis:	Audit and Risk Committee Minutes: 29 November 2021
The Senior Management Team regularly reviews the Corporate Risk Register.	Senior Management Team Meeting Terms of Reference and Minutes

**4.9 Consider adopting additional good practice standards that are relevant to the particular work that your charity does.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West is always keen to adopt good practice standards and has adopted many standards over the years which inter alia include:</p> <ul style="list-style-type: none"> <li>• National Standards for Residential Services for Children and Adults with Disability (HIQA)</li> <li>• ISO 9001:2015</li> <li>• Excellence Through People 1000:2017</li> <li>• Interim New Directions Standards</li> <li>• Guidelines for Charitable Organisations on Fundraising from the Public</li> <li>• Building Standards</li> <li>• Vehicle Standards</li> <li>• Safety Health and Welfare at Work Act 2005 and any amendments</li> <li>• QQI for Rehabilitative Training Programme</li> <li>• Code of Practice for Fire Safety in New and Existing Community Dwelling Houses (Department of Housing, Planning and Local Government)</li> <li>• Charities SORP (adopting the principles of this recommended practice)</li> </ul>	<p>Policies and Procedures available on Intranet            HIQA Certification            External Certification, i.e. ISO, Excellence Through People            Audited Financial Statements are drafted cognisant of Charities SORP  <a href="#">Resources — Ability West</a></p>

**Principle 5: Working Effectively**    **CORE STANDARDS**

- 5.1 Identify charity trustees with the necessary skills to undertake:**
- any designated roles set out in your governing document; and
  - other roles as appropriate within the board.

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West reviews its Trustees on an ongoing basis taking into account the expertise/skillmix required. A gap analysis was completed by the Nominations Committee in early 2021.	Nominations Committee Minutes: 17 February, 7 July, 18 November 2021 Board Minutes: 8 March , 12 July, 7 December 2021
Role descriptions have been developed in more recent years for recruiting Trustees. The most recent description was developed by the Nominations Committee for the recruitment of two family representatives to join the Board.	Role descriptions
Ability West has a number of committees in place which report to the Trustees. These generally comprise of individuals with particular expertise in a relevant area, i.e. Finance, Quality & Safety, Audit and Risk, Nominations and Visits.	Committee Membership and Terms of Reference Board Meeting Minutes: 14 December 2020, 6 September 2021
Induction training is provided to all Trustees at the outset of their tenure. Ongoing training is also offered to Trustees, and particularly for officer roles.	Induction Pack
Updates on a regular basis in terms of legislative changes, changes required and implications for Ability West.	Code of Conduct for Trustees and Board Meeting Minutes

- 5.2 Hold regular board meetings. Give enough notice before meetings and provide prepared agendas.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West issues a calendar and schedule of Board meetings in December each year for the following year. There are 10 meetings per year.	Annual Calendar and Schedule of Board Meetings Board Meeting Pack, Agenda and Minutes: 7 December 2021
The Board Pack, including agenda, minutes of previous meeting, CEO Report, and other relevant documentation, issues at least one week in advance of each Board Meeting.	Board Master File (contains Board pack issued prior to each member and any additional documents circulated at the meeting) Record of Posting in Post Log Minutes of Meetings
Meetings are held in compliance with the Constitution	Board Meeting Minutes

**5.3 At a minimum, your board agendas should always include these items:**

- reporting on activities;
- review of finances; and
- conflicts of interests and loyalties.

Actions our charity takes to meet standards:	Evidence of our actions:
<p>The <u>standard</u> agenda for each Ability West Board Meeting is as follows:</p> <ul style="list-style-type: none"> <li>- Conflict of Interest/Loyalty</li> <li>- Minutes</li> <li>- Matters Arising</li> <li>- Chairman’s Business</li> <li>- Chief Executive’s Report (comprehensive report which includes reporting on all operational activities) – Circulated in advance of the Board Meeting</li> <li>- Financial Update</li> <li>- Appointments/Remuneration</li> <li>- Any Other Business</li> <li>- Evaluation</li> </ul> <p>There are usually additional items added to the agenda, e.g. draft policies for approval, capital projects update, etc.</p>	<p>Board Meeting Agendas: Board 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.</p>
<p>A Recording Secretary takes minutes of the discussions and decisions at each meeting.</p>	<p>Board Meetings Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.</p>

**5.4 Make sure that your charity trustees have the facts to make informed decisions at board meetings and that these decisions are recorded accurately in the minutes.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>The Board meeting documentation provided to the Trustees one week in advance of each meeting is very comprehensive to ensure that each Trustee has the facts and are in a position to make informed decisions at Board Meetings.</p> <p>The Chief Executive’s report is a comprehensive report providing updates on operations which inter alia includes: HR, Finance, Quality and Compliance, Facilities and Transport and Communications.</p> <p>The Chief Executive is available to Trustees for consultation in advance of Board Meetings.</p>	<p>Record of Posting in Post Log Board Documentation, including the CEO Report</p>
<p>A Recording Secretary takes comprehensive minutes of the discussions and decisions at each meeting. Draft minutes are reviewed by the Chief Executive, followed by the Chairperson who approves same in advance of circulation to the Trustees. The Trustees review the minutes in advance of the meeting and raise any inaccuracies under Matters Arising at the Board Meeting.</p>	<p>Board Meetings Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.</p>

Minutes of the previous meeting are proposed and seconded by members who were in attendance at that meeting.	Board Meetings Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
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**5.5 Consider introducing term limits for your charity trustees, with a suggested maximum of nine years in total.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a Nominations Committee in place which is tasked with the core responsibilities of managing the appointment process for potential new Trustees, succession planning for the Board, skillmix, etc. The term of office for a Trustee is three consecutive terms of three years, i.e. maximum of nine years, as per our Constitution.	Nominations Committee Terms of Reference

**5.6 Recruit suitable new charity trustees as necessary and make sure they receive an induction.**

Actions our charity takes to meet standards:	Evidence of our actions:
An induction pack is provided to new Trustees and comprehensive induction meetings are held with each new Trustee prior to their first Board meeting.	Board Meeting Minutes Induction Pack
Role descriptions have been developed for recruiting Trustees which provide detail about the role, time commitment, etc.	Role descriptions
External training is offered to Trustees on an ongoing basis.	Record of Training Undertaken

**5.7 Make sure all of your trustees understand:**

- **their role as charity trustees;**
- **the charity's governing document; and**
- **this Code.**

Actions our charity takes to meet standards:	Evidence of our actions:
Each Trustee is fully informed of their fiduciary duties as a Trustee of Ability West. This is covered prior to commencing as a Trustee and again at induction. A Code of Conduct for each Trustee is provided at the outset of their tenure and this is reviewed/updated and signed annually by the Trustees.	Board Meeting Minutes and Documentation (Master File): 12 July 2021 Code of Conduct for Trustees <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a>
A copy of our Constitution is provided to each Trustee and this is available on our website or on request. The most recent update of the Constitution was discussed and reviewed by Trustees at meetings during 2019 and 2020 prior to submission to Charities Regulator and Companies Registration Office.	Board Meeting Minutes: 16 December 2019, 27 January 2020, 9 March 2020, 27 April 2020, 7 September 2020, 12 October 2020

The Governance Code was initially brought to the attention of the Trustees in November 2018 with a copy of the code being provided at that time. A copy of this code also forms part of the Induction Pack for Trustees.	Board Meeting Minutes: 6 September, 15 December 2021 Induction Pack for Trustees
The first Compliance Record Form was completed and approved by the Board in November 2019 in advance of the Charities Regulator's deadline for compliance, i.e. January 2020. Principles of the code and the Compliance Record Form for 2020 were considered at Board Meetings in September, October and November 2020 with formal approval at the December Board Meeting. The 2020 compliance was approved at the December 2021 Board Meeting.	Compliance Record Form 2019, 2020, 2021 Board Meeting Minutes: September – December 2019 and 2020, 6 September, 15 December 2021

**5.8 Commit to resolving problems and emerging issues as quickly as possible and in the best interests of your charity.  
Actions our charity takes to meet the standards.**

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West is always keen to respond to emerging issues and resolving any problems as they arise. The governance of the organisation, from the Trustees to frontline services, is particularly important and this is evident from the in-depth nature of Board Meetings, Senior Management meetings and other operational meetings.</p> <p>Meetings are held in line with our Constitution, always ensuring a quorum is present. The Chairperson ensures that adequate time is allocated for discussion. The Chairperson is also supported in the role with access to training and advice.</p> <p>Unscheduled/emergency meetings are held as required.</p>	<p>Board Meeting Minutes CEO Report to the Board SMT and other Operational Meeting Minutes Board Visiting Committee Reports and Feedback Quality &amp; Safety Board and Executive Committees Meeting Minutes Constitution Record of Training</p>
Key issues are escalated to the Board for decision and the organisation is clear where decision-making lies for each area of our activities and business.	Board Meeting Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021.
Risk Management and Risk Escalation Pathway	Policy and Procedure Board Meeting Minutes: 16 November 2020
Regularly reviewing our Corporate Risk Register	Corporate Risk Register Quality and Safety Board Committees Minutes: 8 March, 11 October, 2021 Board/Senior Management Team Minutes: 31 May, 15 December 2021
Forward Planning – Strategic Plan (developed on a 5 year cycle or less, depending on organisational requirements and/or external influences at the time of development)	Strategic Plan

**5.9 From time to time, review how your Board operates and make any necessary improvements.**

Actions our charity takes to meet standards:	Evidence of our actions:
The Board holds an evaluation at the end of each meeting. A formal evaluation process is being considered by the Board, with further consideration being given to having an external evaluation in the future.	Board Meeting Minutes: 25 January, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021
The Nominations Committee is tasked with the core responsibilities of managing the appointment process for potential new Trustees, succession planning for the Board, skillmix, etc.	Nominations Committee Minutes: 17 February, 7 July, 18 November 2021
Annual Board Appraisal – the first evaluation took place during November 2021. Formal report and recommendations due in January 2021.	Board Meeting Minutes: 15 November, 15 December 2021.

**Principle 5: Working Effectively** **ADDITIONAL STANDARDS**

**5.10 Make sure you send out board packs with enough notice and include all relevant reports and explanatory papers to enable informed decision-making.**

Actions our charity takes to meet standards:	Evidence of our actions:
Annual schedule of Board meetings is prepared in advance of each year.	Annual Meeting Schedule
The Board Meeting pack is provided to the Trustees one week in advance of each meeting. The pack is very comprehensive to ensure that each Trustee has the facts and are in a position to make informed decisions at Board Meetings.	Board Meeting Pack (copy available on the Board Master File, along with any additional documents circulated at the meeting)
The Chief Executive is available to Trustees for consultation in advance of Board Meetings if any clarity is required on a particular issue/item.	Record of Posting on Post Log

**5.11 Make sure that you have a charity trustee succession plan in place and consider how you can maximise diversity among your charity trustees.**

Actions our charity takes to meet standards:	Evidence of our actions:
Our Constitution provides details regarding the recruitment and removal of Trustees and outlines the fixed terms of office. Trustees are appointed, resign or retire in line with our Constitution and appropriate records are held in relation to same. A Register of Trustees (Directors) is in place which details names, addresses, when Trustees commenced in office and when they resign. The Charities Regulator is informed of any changes to Trustees/Directors.	Constitution <a href="#">Resources – Ability West</a> Register of Directors/Members

The Nominations Committee in place reviews the skill mix and expertise within the Board at least annually.	Terms of Reference of the Nominations Committee Minutes of Nominations Committee meetings: 17 February, 7 July, 18 November 2021
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**5.12 Put in place a comprehensive induction programme for new charity trustees.**

<b>Actions our charity takes to meet standards:</b>	<b>Evidence of our actions:</b>
<p>An induction pack is provided to each new Trustee at their Induction Training and prior to their first Board meeting. The pack inter alia includes:</p> <ul style="list-style-type: none"> <li>- Welcome letter from the Chairperson</li> <li>- Constitution</li> <li>- Charities Governance Code and Compliance Form</li> <li>- National Standards for Residential Services for Children and Adults with Disabilities</li> <li>- Statutory Instruments 365-367</li> <li>- Code of Conduct for Trustees</li> <li>- Board Sub-Committees and Terms of Reference</li> <li>- Organisational Charts outlining corporate and clinical structures</li> <li>- Staff Resources/WTEs</li> <li>- Strategic Plan and Service Plans</li> <li>- Schedule of Board Meetings</li> <li>- Audited Financial Statements</li> <li>- Annual Report</li> <li>- Charities Regulator – Guidance for Charity Trustees and Legal Duties Infographic</li> <li>- Directory of Services</li> <li>- Policy on Conflict of Interest/Loyalty</li> <li>- Declaration of Interests Form</li> <li>- Form B10 for completion in advance of submission to the CRO</li> <li>- National Vetting Invitation</li> <li>- Notification to HIQA re Directorship</li> </ul>	<p>Induction pack – updated as relevant</p>

- 5.13 Conduct a regular review that includes an assessment of:**
- the effectiveness of your board as a whole, office holders and individual charity trustees
  - adherence to the board code of conduct; and
  - the structure, size, membership and terms of reference of any sub-committees.

Actions our charity takes to meet standards:	Evidence of our actions:
A comprehensive Directors' Report is provided in Ability West's Annual Report.	Directors' Report – Annual Report <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a>
At the beginning of each Board Meeting conflicts of interest/loyalty, if any, are reported and recorded. A Declaration of Interest form is completed annually by each Trustee.	Board Meeting – Agenda, Attendance Record, Minutes: 25 January, 8 March, 26 April, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021
The Code of Conduct for Trustees is reviewed annually and signed off by the Board.	Code of Conduct for Trustees Board Meeting Minutes: 12 July 2021
A formal evaluation process was under consideration by the Board during 2020 and 2021, this process commenced in November 2021.	Board Meeting Minutes: 25 January, 31 May, 12 July, 6 September, 11 October, 15 November, 15 December 2021
The Chairman and CEO meet in advance of each Board Meeting to review all matters pertaining to the meeting and the CEO's stewardship.	E-appointments in diaries
An annual return is completed for the Charities Regulator.	Annual Return <a href="#">The Charities Regulator is Ireland's national statut...</a>
The Board of Directors completes an Annual Compliance Statement for the HSE (main funder).	Annual Compliance Statement (HSE) Board Meeting Minutes: 26 April 2021
A gap analysis was completed by the Nominations Committee in early 2021 to identify/assess any skills gaps	Nominations Committee Minutes: 8 December 2020, 17 February 2021 Board Minutes: 8 March 2021
The Board's terms of reference reflect good practice, are documented and available. These were reviewed and ratified by the Board in 2021.	Board Pack and Minutes: 11 October 2021

**5.14 Do regular skills audits and provide appropriate training and development to charity trustees and staff. If necessary, recruit to fill any competency gaps on the board of your charity.**

Actions our charity takes to meet standards:	Evidence of our actions:
The Nominations Committee reviews the skill mix and expertise within the Board at least annually. If required, a recruitment campaign can be undertaken via Volunteer Galway and/or Boardmatch.	Nominations Committee (Master File)
External training is offered to Trustees on an ongoing basis.	Board Meeting Agenda/Minutes: 12 July, 6 September 2021
Mandatory Training is provided to all staff on an ongoing basis. Internal training is provided on particular systems as required, e.g. Quality Management Information System, CoreHR, and other training/development needs are actioned in line with resources available.	Staff Training Records (Core HR)

**Principle 6: Being Accountable** CORE STANDARDS

**6.1 Make sure that the name and Registered Charity Number (RCN) of your charity is displayed on all of your written materials, including your:**

- website;
- social media platforms; and
- email communications.

Actions our charity takes to meet standards:	Evidence of our actions:
Our charity name and RCN is displayed on our website, social media platforms and letter, email communications, along with other published reports/flyers, etc.	Website, social media platforms, Letterhead, Email Account Signatures, Company Documents, e.g. Annual Report, flyers Annual Report: <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> Website and Social Media Platforms (Facebook, Twitter, Instagram, LinkedIn) <a href="https://www.abilitywest.ie/">https://www.abilitywest.ie/</a> <a href="https://www.facebook.com/AbilityWest/">https://www.facebook.com/AbilityWest/</a> <a href="https://twitter.com/abilitywest">https://twitter.com/abilitywest</a> <a href="https://www.instagram.com/abilitywest/">https://www.instagram.com/abilitywest/</a> <a href="https://www.linkedin.com/company/ability-west">https://www.linkedin.com/company/ability-west</a>

**6.2 Identify your stakeholders and decide how you will communicate with them.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a number of stakeholders which inter alia include: <ul style="list-style-type: none"> <li>- Service Users</li> <li>- Families</li> <li>- Members of the organisation</li> <li>- Staff</li> <li>- Volunteers</li> <li>- Partner Organisations</li> <li>- Funders</li> <li>- Donors</li> <li>- Regulators</li> <li>- Public Representatives</li> <li>- General Public</li> </ul>	Ability West communicates regularly with our many stakeholders through a variety of fora which inter alia includes: <ul style="list-style-type: none"> <li>- Meeting Minutes/Programme – for example: CEO and Senior Management Team meet with the Advocacy Council; Family Fora (biannual meetings), Staff Seminar, Corporate Team, Operational Frontline Meetings, etc.</li> <li>- Regular meetings with our main funder, i.e. HSE</li> <li>- Written communication, incl. emails, letters, memos, reports, strategic plans, etc.</li> <li>- Website, social media platforms, annual report and local media, e.g. radio, newspapers</li> <li>- Register of Directors and Members</li> <li>- Database of Service Users</li> </ul>

The organisation has a Communications policy and procedure in place, most recently reviewed in January 2019.	Policy and procedure. Board Minutes: 28 January 2019
An annual report is produced detailing our organisational purpose and activities, and details of our financial activity being published in the financial statements. Both available on the company website.	Annual Report Audited Financial Statements

**6.3 Decide if and how you will involve your stakeholders in your:**

- **planning;**
- **decision-making; and**
- **review processes.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a hierarchical organisational structure with the ultimate decision maker being the Company's Trustees. The Trustees delegate the day-to-day management of the organisation to the CEO who accounts for her stewardship at each Board Meeting. The CEO in turn delegates responsibility for a number of operational areas, e.g. Client Services, HR, Finance, Quality and Compliance, Ancillary Services, etc. There are a variety of committees/teams in place, along with a comprehensive suite of policies and procedures to inform planning for services, decision making and review of processes.	Meeting Minutes, e.g. Board Meetings, Senior Management Team Meetings, Policy Advisory Group, Corporate Team, etc. Regular Meetings with Direct Reports Quality & Safety Board Committee Minutes Review of Strategic Plan implementation Family Fora and Advocacy Council
Regular meetings with our main funder, i.e. HSE	Service Arrangement Review Meeting Minutes: 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021
Consultation meetings are held with the Advocacy Council who in turn consult with service users across the organisation	Meeting notes.

**6.4 Make sure you have a procedure for dealing with:**

- **queries;**
- **comments; and**
- **complaints.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a robust Complaints, Compliments and Feedback policy and procedure which is available to anyone who wishes to make a complaint or provide feedback to the organisation.	Policy and Procedures Board Meeting Minutes: 16 November 2020 Quality Management Information System

Ability West has a specific Feedback and Complaints procedure in relation to fundraising which is in line with the recommendations made in the Guidelines for Charitable Organisations on Fundraising from the Public.	Website <a href="https://www.abilitywest.ie/fundraise">https://www.abilitywest.ie/fundraise</a>
Ability West has a Dignity, Respect and Equality in the Workplace policy and procedure in place for staff.	Policy/Procedure
Comments and queries received via our website and social media platforms are dealt with promptly by the Communications Manager.	Social Media Messaging
Ability West has seven dedicated Complaints Officers who are trained in handling complaints.	Complaints Officers Notification
The organisation has a Communications policy and procedure in place, most recently reviewed in January 2019.	Policy and procedure Board Minutes: 28 January 2019

#### 6.5 Follow the reporting requirements of all of your funders and donors, both public and private.

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Ability West complies with the reporting requirements of our funders, donors, and regulatory bodies which inter alia include:</p> <ul style="list-style-type: none"> <li>- Companies Registration Office</li> <li>- Charities Regulator</li> <li>- Revenue Commissioners</li> <li>- Standards in Public Office Commission (Lobbying)</li> <li>- Health Service Executive</li> <li>- Department of Education and Skills</li> <li>- Department of Social Protection</li> <li>- Health and Safety Authority</li> <li>- Health Information and Quality Authority</li> <li>- ABHRA (Approved Housing Bodies Regulatory Authority)</li> <li>- QQI</li> <li>- State Claims Agency (NIMS)</li> </ul>	<p>All reporting materials, completion of returns, donation receipting/acknowledgements, etc. Annual Compliance Statement (HSE) - Board Meeting Minutes: 26 April 2021 Service Arrangement with HSE and Regular Review Meetings. 27 January, 30 March, 15 June, 20 July, 21 September, 7 December 2021</p> <p>Feedback given by CEO at Board Meeting following Service Arrangement Review. Board Meeting Minutes: 8 March, 12 July, 6 September, 11 October, 15 November, 15 December 2021.</p> <p>Annual Financial Monitoring Return</p>
Ability West communicates with donors regarding donor specific requests (where funds are spent)	As relevant.

**Principle 6: Being Accountable** **ADDITIONAL STANDARDS**

**6.6 Produce unabridged (full) financial accounts and make sure that these and your charity's annual report are widely available and easy for everyone to access.**

Actions our charity takes to meet standards:	Evidence of our actions:
The organisation produces audited accounts on an annual basis which are filed with the Companies Registration Office, Charities Regulator, and provided to the HSE and other funders. Additionally, a full copy of the audited accounts (unabridged) and annual report is available on our website and a copy can be provided to any stakeholder upon request.	Audited Accounts and Annual Report <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a>

**6.7 Make sure all the codes and standards of practice to which your charity subscribes are publicly stated.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West publishes the codes and standards to which we subscribe on our website and reports on same in our annual report and at each AGM. This includes the publication of the Charities Governance Code Compliance Record Form.	Website <a href="https://www.abilitywest.ie/">https://www.abilitywest.ie/</a> Annual Report <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a> AGM Minutes <a href="https://www.abilitywest.ie/resources">https://www.abilitywest.ie/resources</a>
Ability West has developed a five year Strategic Plan, 2019-2023, which clearly sets out the roadmap for the organisation over the coming five years.	Strategic Plan 2019-2023 <a href="https://www.abilitywest.ie/about#company-info">https://www.abilitywest.ie/about#company-info</a>

**6.8 Regularly review any complaints your charity receives and take action to improve organisational practice.**

Actions our charity takes to meet standards:	Evidence of our actions:
Ability West has a Complaints Module which forms part of a Quality Management Information System (database) which records complaints and actions taken. The Quality and Compliance Manager reviews complaints every three months and proposes improvements via the Chief Executive, or relevant other, or via our Policy Advisory Group.	Quality Management Information System Complaints, Compliments and Feedback policy and procedure Board Meeting Minutes: 16 November 2020
Complaints analysis forms part of the overall statistics review taking an integrated risk management perspective. In addition, Complaints Officers' meetings take place bi-annually, and a review of complaints analysis is undertaken.	Complaints Officers' Meetings: 25 May, 9 December 2021
Quality & Safety Executive Meeting	Quality & Safety Executive Meeting Minutes
Quality & Safety Committee Board Meeting	Quality & Safety Committee Board Meeting Minutes: 8 March, 11 October 2021
Quarterly Complaint and Feedback Returns to the HSE	Quarterly Returns (HSE File)